

Employee Post-Travel Disclosure of Travel Expenses

RECEIVED
Date/Time Stamp:
SECRETARY OF THE SENATE
PUBLIC RECORDS

Post-Travel Filing Instructions: Complete this form within 30 days of returning travel. Submit all forms to the **Office of Public Records in 232 Hart Building.**

2019 MAR 22 PM 3:17

In compliance with Rule 35.2(a) and (c), I make the following disclosures with respect to travel expenses that have been or will be reimbursed/paid for me. I also certify that I have attached:

- ☒ The original *Employee Pre-Travel Authorization* (Form RE-1), AND
- ☒ A copy of the *Private Sponsor Travel Certification Form* with all attachments (itinerary, invitee list, etc.)

Private Sponsor(s) (list all): Aspen Institute

Travel date(s): February 19-21, 2019

Name of accompanying family member (if any): _____

Relationship to Traveler: ☐ Spouse ☐ Child

IF THE COST OF LODGING DID NOT INCREASE DUE TO THE ACCOMPANYING SPOUSE OR DEPENDENT CHILD, ONLY INCLUDE LODGING COSTS IN EMPLOYEE EXPENSES. (Attach additional pages if necessary.)

Expenses for Employee:

	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses (Amount & Description)
<input checked="" type="checkbox"/> Good Faith Estimate	\$0	\$236.00	\$122.50	\$452.57 meeting room feeds (including meeting facilities, set up/take down, cleaning, and meeting materials)
<input type="checkbox"/> Actual Amount				

Expenses for Accompanying Spouse or Dependent Child (if applicable):

	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses (Amount & Description)
<input type="checkbox"/> Good Faith Estimate				
<input type="checkbox"/> Actual Amount				

Provide a description of all meetings and events attended. See Senate Rule 35.2(c)(6). (Attach additional pages if necessary.): Over the three days, the Aspen Institute held seven meeting sessions focused on different topics regarding implementation of the

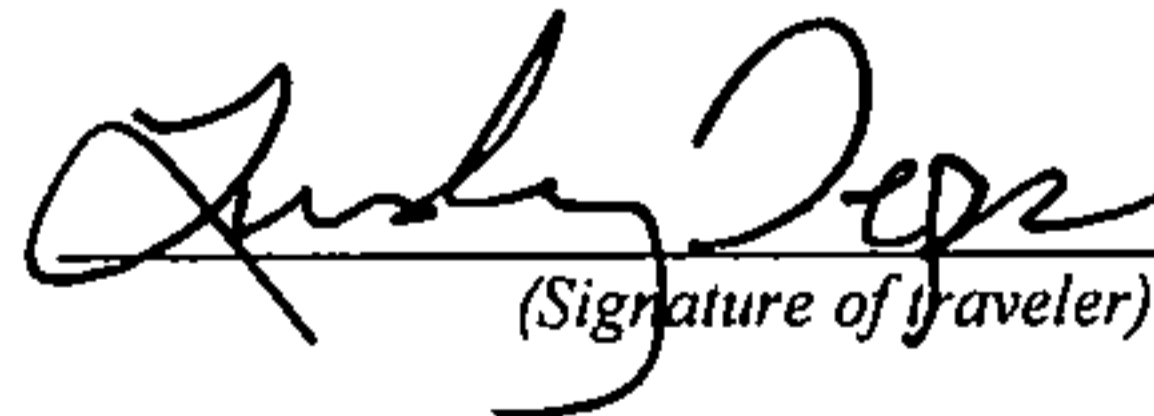
Every Student Succeeds Act (ESSA), with state and local leaders describing their activities and answering additional questions on their work to date.

3/22/19

(Date)

Lindsey Tepe

(Printed name of traveler)



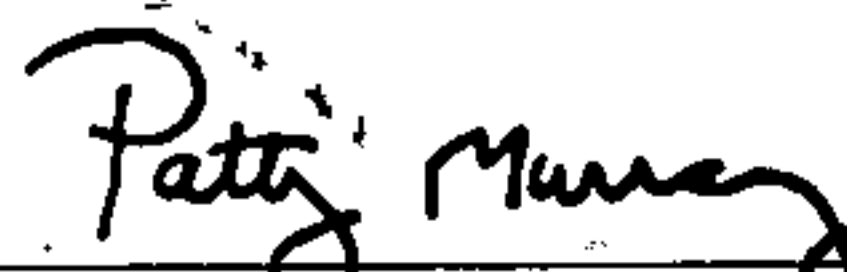
(Signature of traveler)

TO BE COMPLETED BY SUPERVISING MEMBER/OFFICER:

I have made a determination that the expenses set out above in connections with travel described in the *Employee Pre-Travel Authorization* form, are necessary transportation, lodging, and related expenses as defined in Rule 35.

3/22/19

(Date)



(Signature of Supervising Senator/Officer)

EMPLOYEE PRE-TRAVEL AUTHORIZATION

Pre-Travel Filing Instructions: Complete and submit this form at least 30 days prior to the travel departure date to the **Select Committee on Ethics in SH-220**. Incomplete and late travel submissions will **not** be considered or approved. This form **must** be typed and is available as a fillable PDF on the Committee's website at ethics.senate.gov. Retain a copy of your entire pre-travel submission for your required post-travel disclosure.

Name of Traveler: Lindsey Tepe

Employing Office/Committee: HELP Committee, Minority Staff

Private Sponsor(s) (list all): The Aspen Institute

Travel date(s): February 19 - 21, 2019

*Note: If you plan to extend the trip for any reason you **must** notify the Committee.*

Destination(s): The Inn at Perry Cabin, St Michaels, MD 21663

Explain how this trip is specifically connected to the traveler's official or representational duties:

This event is designed for Congressional Staff to hear directly from states and school districts about the implementation of the Every Student Succeeds Act (ESSA). This event will provide important context as the HELP Committee minority staff continues to exercise oversight on the implementation of the law. This event will be helpful to me, as I continue to collect information, review state plans, and work with states to understand how they are implementing ESSA.

Name of accompanying family member (if any): N/A

Relationship to Employee: ☐ Spouse ☐ Child

I certify that the information contained in this form is true, complete and correct to the best of my knowledge:

2/11/19
(Date)

Lindsey Tepe
(Signature of Employee)

TO BE COMPLETED BY SUPERVISING SENATOR/OFFICER (President of the Senate, Secretary of the Senate, Sergeant at Arms, Secretary for the Majority, Secretary for the Minority, and Chaplain):

I, Senator Patty Murray hereby authorize Lindsey Tepe
(Print Senator's/Officer's Name) (Print Traveler's Name)

an employee under my direct supervision, to accept payment or reimbursement for necessary transportation, lodging, and related expenses for travel to the event described above. I have determined that this travel is in connection with his or her duties as a Senate employee or an officeholder, and will not create the appearance that he or she is using public office for private gain.

I have also determined that the attendance of the employee's spouse or child is appropriate to assist in the representation of the Senate. (signify "yes" by checking box) ☐

2/11/19
(Date)

Patty Murray
(Signature of Supervising Senator/Officer)

EMPLOYEE PRE-TRAVEL AUTHORIZATION

Date/Time Stamp:

ETHIC JAN18'19PM 2:55

Pre-Travel Filing Instructions: Complete and submit this form at least 30 days prior to the travel departure date to the Select Committee on Ethics in SH-220. Incomplete and late travel submissions will not be considered or approved. This form must be typed and is available as a fillable PDF on the Committee's website at ethics.senate.gov. Retain a copy of your entire pre-travel submission for your required post-travel disclosure.

Name of Traveler: Lindsey Tepe

Employing Office/Committee: HELP Committee, Minority Staff

Private Sponsor(s) (list all): The Aspen Institute

Travel date(s): February 19 - 21, 2019

Note: If you plan to extend the trip for any reason you must notify the Committee.

Destination(s): The Inn at Perry Cabin, St Michaels, MD 21663

Explain how this trip is specifically connected to the traveler's official or representational duties:

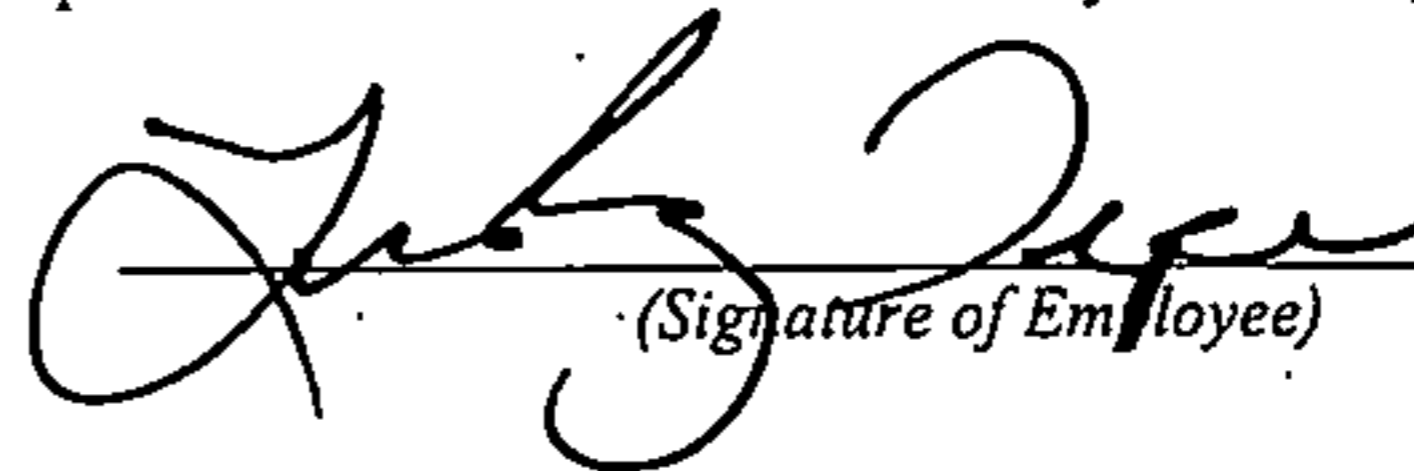
This event is designed for Congressional Staff to hear directly from states and school districts about the implementation of the Every Student Succeeds Act (ESSA). This event will provide important context as the HELP Committee minority staff continues to exercise oversight on the implementation of the law. Overseeing implementation

Name of accompanying family member (if any): N/A

Relationship to Employee: ☐ Spouse ☐ Child

I certify that the information contained in this form is true, complete and correct to the best of my knowledge:

1/18/19
(Date)


(Signature of Employee)

TO BE COMPLETED BY SUPERVISING SENATOR/OFFICER (President of the Senate, Secretary of the Senate, Sergeant at Arms, Secretary for the Majority, Secretary for the Minority, and Chaplain):

I, Senator Patty Murray hereby authorize Lindsey Tepe
(Print Senator's/Officer's Name) (Print Traveler's Name)

an employee under my direct supervision, to accept payment or reimbursement for necessary transportation, lodging, and related expenses for travel to the event described above. I have determined that this travel is in connection with his or her duties as a Senate employee or an officeholder, and will not create the appearance that he or she is using public office for private gain.

I have also determined that the attendance of the employee's spouse or child is appropriate to assist in the representation of the Senate. (signify "yes" by checking box) ☐

1/18/19
(Date)


(Signature of Supervising Senator/Officer)



Dear Senate Colleague,

At this convening, staffers will hear from state and district leaders on the implementation of the Every Student Succeeds Act. Staffers will understand how states implementing their ESSA plans and building coherence across priorities, systems, and programs. Participants will also have a chance to explore state accountability systems, taking a deep dive into the operation of one state's accountability and discussing implications for school identification and improvement, student subgroups, and the school quality/student success indicator. Our conversations will also focus on human capital strategy and systems. Finally, the retreat will provide an opportunity for staffers to engage in their own learning and build working relationships with colleagues from different parties and chambers and with leading experts in the field.

- A detailed agenda listing discussion sessions
- A completed Private Sponsor Travel Certification Form and appendix
- A list of invited Senate staffers
- A blank Employee Pre-Travel Authorization form

Attendance is by invitation only, with no outside observers or lobbyists. Funding is provided solely by grants from established foundations – no government, individual, foreign, corporate, or special interest money is accepted. The Network is supported by The Bill & Melinda Gates Foundation. The Aspen Education & Society Program maintains autonomy over invitations, materials, and the agenda for the retreat.

The retreat promises to be productive and informative. We look forward to seeing you there.

Warm regards,

[Handwritten signature]

Doug Mesecar

24
 25
 26
 27
 28
 29
 30
 31
 32
 33
 34
 35
 36
 37
 38
 39
 40
 41
 42
 43
 44
 45
 46
 47
 48
 49
 50
 51
 52
 53
 54
 55
 56
 57
 58
 59
 60
 61
 62
 63
 64
 65
 66
 67
 68
 69
 70
 71
 72
 73
 74
 75
 76
 77
 78
 79
 80
 81
 82
 83
 84
 85
 86
 87
 88
 89
 90
 91
 92
 93
 94
 95
 96
 97
 98
 99
 100
 101
 102
 103
 104
 105
 106
 107
 108
 109
 110
 111
 112
 113
 114
 115
 116
 117
 118
 119
 120
 121
 122
 123
 124
 125
 126
 127
 128
 129
 130
 131
 132
 133
 134
 135
 136
 137
 138
 139
 140
 141
 142
 143
 144
 145
 146
 147
 148
 149
 150
 151
 152
 153
 154
 155
 156
 157
 158
 159
 160
 161
 162
 163
 164
 165
 166
 167
 168
 169
 170
 171
 172
 173
 174
 175
 176
 177
 178
 179
 180
 181
 182
 183
 184
 185
 186
 187
 188
 189
 190
 191
 192
 193
 194
 195
 196
 197
 198
 199
 200
 201
 202
 203
 204
 205
 206
 207
 208
 209
 210
 211
 212
 213
 214
 215
 216
 217
 218
 219
 220
 221
 222
 223
 224
 225
 226
 227
 228
 229
 230
 231
 232
 233
 234
 235
 236
 237
 238
 239
 240
 241
 242
 243
 244
 245
 246
 247
 248
 249
 250
 251
 252
 253
 254
 255
 256
 257
 258
 259
 260
 261
 262
 263
 264
 265
 266
 267
 268
 269
 270
 271
 272
 273
 274
 275
 276
 277
 278
 279
 280
 281
 282
 283
 284
 285
 286
 287
 288
 289
 290
 291
 292
 293
 294
 295
 296
 297
 298
 299
 300
 301
 302
 303
 304
 305
 306
 307
 308
 309
 310
 311
 312
 313
 314
 315
 316
 317
 318
 319
 320
 321
 322
 323
 324
 325
 326
 327
 328
 329
 330
 331
 332
 333
 334
 335
 336
 337
 338
 339
 340
 341
 342
 343
 344
 345
 346
 347
 348
 349
 350
 351
 352
 353
 354
 355
 356
 357
 358
 359
 360
 361
 362
 363
 364
 365
 366
 367
 368
 369
 370
 371
 372
 373
 374
 375
 376
 377
 378
 379
 380
 381
 382
 383
 384
 385
 386
 387
 388
 389
 390
 391
 392
 393
 394
 395
 396
 397
 398
 399
 400
 401
 402
 403
 404
 405
 406
 407
 408
 409
 410
 411
 412
 413
 414
 415
 416
 417
 418
 419
 420
 421
 422
 423
 424
 425
 426
 427
 428
 429
 430
 431
 432
 433
 434
 435
 436
 437
 438
 439
 440
 441
 442
 443
 444
 445
 446
 447
 448
 449
 450
 451
 452
 453
 454
 455
 456
 457
 458
 459
 460
 461
 462
 463
 464
 465
 466
 467
 468
 469
 470
 471
 472
 473
 474
 475
 476
 477
 478
 479
 480
 481
 482
 483
 484
 485
 486
 487
 488
 489
 490
 491
 492
 493
 494
 495
 496
 497
 498
 499
 500
 501
 502
 503
 504
 505
 506
 507
 508
 509
 510
 511
 512
 513
 514
 515
 516
 517
 518
 519
 520
 521
 522
 523
 524
 525
 526
 527
 528
 529
 530
 531
 532
 533
 534
 535
 536
 537
 538
 539
 540
 541
 542
 543
 544

Aspen Senior Congressional Education Staff Network Retreat

Implementing ESSA: Accountability Systems and Human Capital

Inn at Perry Cabin
308 Watkins Lane
St. Michaels, MD 21663
P: 410-745-2200

February 19-21, 2019

Please provide names and titles of ALL Senate Members and employees you are inviting.

The Senate employees invited (listed below) are senior education staff responsible for education issues; they are invited specifically because of their education portfolio to meet with leaders and educational experts from states, districts, research, and support organizations to engage in non-partisan dialogue on the impact of federal policy on different levels of the education system.

SENATE CONGRESSIONAL STAFF

Jake Cornett
Minority Senior Advisor
Senate Committee on Health, Education, Labor,
and Pensions

Laura Friedel
Majority Clerk
Senate Appropriations Subcommittee on Labor,
Health and Human Services, and Education

Mike Gentile
Majority Professional Staff Member
Senate Appropriations Subcommittee on Labor,
Health and Human Services, and Education

Jenn Hatfield
Majority Education Research Assistant
Senate Committee on Health, Education, Labor,
and Pensions

Jordan Hynes
Majority Professional Staff Member
Senate Committee on Health, Education, Labor,
and Pensions

Alex Keenan
Minority Clerk
Senate Appropriations Subcommittee on Labor,
Health and Human Services, and Education

Mark Laisch
Minority Professional Staff Member
Senate Appropriations Subcommittee on Labor,
Health and Human Services, and Education

Kara Marchione
Minority Education Policy Director
Senate Committee on Health, Education, Labor,
and Pensions

Bob Moran
Majority Deputy Education Policy Director
Senate Committee on Health, Education, Labor,
and Pensions

Matt Stern
Majority Professional Staff
Senate Committee on Health, Education, Labor,
and Pensions

Lindsey Tepe
Minority Legislative Fellow
Senate Committee on Health, Education, Labor,
and Pensions

M
C
C
T
C
C
C
C
C
C
C
C

12:00 PM	Arrival and Check-In
12:30 – 1:00 PM	Lunch
1:15 – 1:45 PM	<p>Welcome, Overview, and Retreat Objectives</p> <p>To guide the retreat's discussion, Congressional staffers and faculty members will begin by sharing their top learning objectives for the convening.</p>
1:45 – 3:00 PM	<p><u>Session I: ESSA Implementation Status</u></p> <p><i>Laura Pinsonneault, Director of the Office of Educational Accountability, Wisconsin Department of Public Instruction</i></p> <p><i>Pedro Rivera, Secretary of Education, Pennsylvania Department of Education</i></p> <p><i>Clayton Wilcox, Superintendent, Charlotte-Mecklenburg Schools</i></p> <p>Guiding Questions:</p> <p><i>How is ESSA implementation integrated with other state-level policy priorities, and where are these efforts siloed? How might that change over time?</i></p> <p><i>What role are other support organizations, like regional comprehensive centers, playing in supporting implementation and building capacity?</i></p>

Have the recent elections impacted state leadership, ESSA implementation, and/or ESSA plan amendments?

3:00 – 3:15 PM

Break

3:15 – 5:15 PM

Session II: Deep Dive into Accountability System Operations

Laura Pinsonneault, Director of the Office of Educational Accountability, Wisconsin Department of Public Instruction

Staff will be led through a detailed data analysis by a state accountability leader to better understand how an SEA goes from data collection, to data aggregation, to school identification, and stakeholder communication. Staff and faculty will consider implications for which schools are identified and why, including what it means for SEA and LEA capacity, human capital decisions, budgeting, and overall strategy.

5:15 – 5:30 PM

Taking stock: Staff reflections and feedback to guide remaining discussions

6:30 PM

Networking Reception with Expert Faculty

Staffers will have the opportunity to network with faculty during the reception.

7:00 – 8:30 PM

Dinner with Discussion of Earlier Sessions

Wednesday, February 20, 2019

7:30 – 8:30 AM

Breakfast

8:30 – 8:35 PM

Group reflection on Day 1: What thoughts and questions were raised for further discussion?

8:35 – 10:05 AM

Session III: Accountability System Reflection: Context and Implications

In small groups of 3-4, participants will engage in a discussion protocol using an *Omaha World Herald* article on how demographic changes are changing in one Nebraska district. As a full group, we will connect the themes from the text-based discussion to state and district approaches to accountability.

Guiding Questions:

How are socio-economic and demographic shifts impacting accountability systems, including school identifications and support systems?

- *What is the preparedness of SEAs and LEAs to effectively implement ESSA's school and subgroup identification and improvement requirements, including systems, communications, plans, and supports?*

- *What trends are emerging in school identification (new insights or continuing trends) around subgroup identification and implications for support?*

Are accountability systems producing valid, reliable, and predicted results that align with SEAs' ESSA plans, as well as supporting the state's systemic vision and goals?

Is the state's system and its output intelligible/useful to internal stakeholders (e.g., LEA and school leaders) and external stakeholders (e.g., parents, the public)?

10:05 – 10:20 AM

Break and individual reflection

10:20 AM – 12:00 PM Session IV: Accountability Focus: Chronic Absenteeism and School Culture/Climate

Pedro Rivera, Secretary of Education, Pennsylvania Department of Education

Kyle Guarrant, Deputy Superintendent, Finance and Operations, Michigan Department of Education

Lorri Hobson, Director of Attendance, Cleveland Metropolitan School District

This session will focus on how SEAs and LEAs are incorporating and utilizing chronic absenteeism in the context of accountability and school improvement.

Guiding Questions:

How are LEAs and schools determining and addressing the root causes of chronic absenteeism, including in-school and out-of-school causes?

In what ways are SEAs and LEAs looking to report on chronic absenteeism (e.g., on report cards, to directly involved stakeholders, and to the general public)?

How are SEAs, LEAs, and schools planning to use chronic absenteeism as a way to develop and improve critical areas that can impact students' attendance (e.g., school culture/climate, teacher expectations, course rigor and relevance)?

How can SEAs and LEAs strategically use/blend funds across Titles and other sources to strengthen practice around students' social and emotional development by focusing on chronic absenteeism?

12:00 – 1:00 PM Lunch

1:00 – 4:15 PM Session V: Deep Dive on Human Capital and District Strategy

Faculty will lead staff through a detailed presentation on district human capital strategy and systems. Consideration will be given to ESSA's impact on human capital strategy and implementation, from programmatic requirements and funding to the impact of school identification and improvement efforts.

After this deep dive, staff and faculty will go on a partner walk to discuss what they heard and surface questions for full-group discussion.

This session will conclude with a facilitated discussion.

Guiding Questions:

How are SEA and LEA leaders using ESSA's funding and policies to recruit, develop, place, and retain effective teachers and leaders based on identified needs, including accountability outcomes and equitable distribution?

Are district HR systems adequately supporting and informing human capital strategy? Are all the systems connected and aligned to the same goals and outcomes, including to accountability?

How have educator evaluation systems evolved since ESSA's passage? Is evaluation any better coordinated across federal, state, and local programs and initiatives?

How are SEAs and LEAs leveraging human capital to support school improvement efforts, including improving school culture and addressing chronic absenteeism?

4:15 – 4:30 PM	Break
4:30 – 4:50 PM	Taking stock: Staff reflections and feedback to guide remaining discussions
6:15 PM	Networking Reception with Expert Faculty Staffers will have the opportunity to network with faculty during the reception.
7:00 – 8:30 PM	Dinner with Discussion of Earlier Sessions

Thursday, February 21, 2019

7:30 – 8:30 AM	Breakfast
8:30 – 8:35 AM	Staff reflections and feedback to guide remaining discussion
8:35 – 9:45 AM	<p><u>Session VI: Leveraging Federal Funds</u></p> <p><i>Kimberly Glass, Federal Programs and Professional Development Coordinator, Springdale School District (Arkansas)</i></p> <p><i>Kyle Guarrant, Deputy Superintendent, Finance and Operations, Michigan Department of Education</i></p> <p><i>Clayton Wilcox, Superintendent, Charlotte-Mecklenburg Schools</i></p> <p>Guiding Questions:</p> <p><i>How are SEAs and LEAs leveraging federal funds to implement ESSA and support their state vision and goals?</i></p> <p><i>In what ways are LEAs combining federal funds (from a strategic standpoint and within the context of the law's provisions) with other funds in terms of achieving system goals and outcomes?</i></p> <p><i>Do districts find it difficult to use the transferability authority? In addition, how do districts typically implement the consolidation of funds permitted under schoolwides?</i></p> <p><i>How are tensions and tradeoffs between federal, state, and local funding and requirements resolved?</i></p>
9:45 – 10:00 AM	Break
10:00 – 11:00 AM	<p><u>Session VII: Intersection of Accountability, Human Capital, and Budgets</u></p> <p><i>Lorri Hobson, Director of Attendance, Cleveland Metropolitan School District</i></p> <p><i>Laura Pinsonneault, Director of the Office of Educational Accountability, Wisconsin Department of Public Instruction</i></p> <p><i>Pedro Rivera, Secretary of Education, Pennsylvania Department of Education</i></p> <p>Guiding Questions:</p> <p><i>How are SEA and LEA leaders balancing accountability, human capital strategy, and federal funds to implement ESSA and achieve state and district goals?</i></p> <p><i>As SEA and LEA leaders implement their accountability systems, identify schools, and support/improve those schools, what other issues do they need to</i></p>

PRIVATE SPONSOR TRAVEL CERTIFICATION FORM

This form must be completed by any private entity offering to provide travel or reimbursement for travel to Senate Members, officers, or employees (Senate Rule 35, clause 2). Each sponsor of a fact-finding trip must sign the completed form. The trip sponsor(s) must provide a copy of the completed form to each invited Senate traveler, who will then forward it to the Ethics Committee with any other required materials. The trip sponsor(s) should **NOT** submit the form directly to the Ethics Committee. Please consult the accompanying instructions for more detailed definitions and other key information.

The Senate Member, officer, or employee **MUST** also provide a copy of this form, along with the appropriate travel authorization and reimbursement form, to the Office of Public Records (OPR), Room 232 of the Hart Building, within thirty (30) days after the travel is completed.

1. Sponsor(s) of the trip (please list all sponsors):
The Aspen Institute, Inc. (Education and Society Program)
2. Description of the trip: Aspen Institute Education and Society program sponsored convening for senior education staffers on the Implementation of the Every Student Succeeds Act (ESSA) and next steps.
3. Dates of travel: February 19-21, 2019
4. Place of travel: St. Michaels, MD
5. Name and title of Senate invitees: Please see attached roster
6. I *certify* that the trip fits one of the following categories:
☒ (A) The sponsor(s) are not registered lobbyists or agents of a foreign principal and do not retain or employ registered lobbyists or agents of a foreign principal and no lobbyist or agents of a foreign principal will accompany the Member, officer, or employee *at any point* throughout the trip.
~~FOR~~
☐ (B) The sponsor or sponsors are not registered lobbyists or agents of a foreign principal, but retain or employ one or more registered lobbyists or agents of a foreign principal and the trip meets the requirements of Senate Rule 35.2(a)(2)(A)(i) or (ii) (*see question 9*).
7. ☒ I *certify* that the trip will not be financed in any part by a registered lobbyist or agent of a foreign principal.
~~AND~~
☒ I *certify* that the sponsor or sponsors will not accept funds or in-kind contributions earmarked directly or indirectly for the purpose of financing this specific trip from a registered lobbyist or agent of a foreign principal or from a private entity that retains or employs one or more registered lobbyists or agents of a foreign principal.
8. I *certify* that:
☒ The trip will not in any part be planned, organized, requested, or arranged by a registered lobbyist or agent of a foreign principal except for *de minimis* lobbyist involvement.
~~AND~~
☒ The traveler will not be accompanied on the trip by a registered lobbyist or agent of a foreign principal except as provided for by Committee regulations relating to lobbyist accompaniment (*see question 9*).

[illegible]

SECRET

☐ (A) The trip is for attendance or participation in a one-day event (exclusive of travel time and one overnight stay) and no registered lobbyists or agents of a foreign principal will accompany the Member, officer, or employee *on any segment* of the trip.

-OR-

- OR -

10. USE ONLY IF YOU CHECKED QUESTION 9(B)

12. Briefly describe the role of each sponsor in organizing and conducting the trip:

Briefly describe the stated mission of each sponsor and how the purpose of the trip relates to that mission:

The Aspen Institute is an educational and policy studies non-profit organization whose mission is to foster leadership based on enduring values and provide a non-partisan forum for the exchange of ideas.

(see continued response)

- The Aspen Institute has a nearly forty year history of conducting non-partisan educational forums, which often include Members of Congress and staff. The Aspen Institute Education and Society program has been conducting convenings for Congressional education staff for twelve years.

15. Briefly describe the educational activities performed by each sponsor (other than sponsoring congressional trips):

The Aspen Institute holds numerous educational activities, including educational briefings, roundtables, forums, and conferences for a diverse range of attendees including federal and state policymakers, business and organizational leaders, members of the press and the general (see continued response)

16. Total Expenses for Each Participant:

	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses
<input checked="" type="checkbox"/> Good Faith estimate <input type="checkbox"/> Actual Amounts	\$95.58 (round trip mileage and tolls)	\$236.00 for two nights total	\$122.50	\$452.57 meeting room fees (includes meeting facilities, set up/take down, cleaning, meeting materials)

17. State whether a) the trip involves an event that is arranged or organized *without regard* to congressional participation or b) the trip involves an event that is arranged or organized *specifically with regard* to congressional participation:

b) The trip is organized specifically with regard to Congressional staff participation in order to support their learning on implementation of the Every Student Succeeds Act.

18. Reason for selecting the location of the event or trip

The location is close to Washington, DC for easy staffer travel and allows faculty members (external experts brought in to support the retreat) to fly into DCA, Dulles or BWI and travel easily to the facility.

19. Name and location of hotel or other lodging facility:

Inn at Perry Cabin, 308 Watkins Lane, St. Michaels, MD 21663

20. Reason(s) for selecting hotel or other lodging facility:

The meeting location has sufficient meeting space and lodging to support off-the-record, non-partisan exchanges of ideas and professional learning.

21. Describe how the daily expenses for lodging, meals, and other expenses provided to trip participants compares to the maximum per diem rates for official Federal Government travel:

Rooms are \$118.00 per day, which reflects the per diem limit

Meals are 2/19/19 \$35.25 per day, 2/20/19 \$61.00 per day, 2/21/19, \$26.25 per day, which reflects the per diem limit

22. Describe the type and class of transportation being provided. Indicate whether coach, business-class or first class transportation will be provided. If first-class fare is being provided, please explain why first-class travel is necessary:

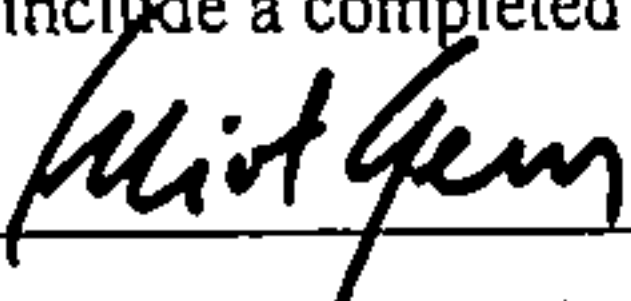
Transportation is not provided; mileage will be reimbursed for participants' travel by personal car

23. ☒ I represent that the travel expenses that will be paid for or reimbursed to Senate invitees do not include expenditures for recreational activities, alcohol, or entertainment (other than entertainment provided to all attendees as an integral part of the event, as permissible under Senate Rule 35).

24. List any entertainment that will be provided to, paid for, or reimbursed to Senate invitees and explain why the entertainment is an integral part of the event:

None

25. I hereby *certify* that the information contained herein is true, complete and correct. (For trips involving more than one sponsor, you *must* include a completed signature page for each additional sponsor):

Signature of Travel Sponsor: 

Name and Title: Elliot Gerson, Executive Vice President, Policy & Public Programs

Name of Organization: The Aspen Institute

Address: 2300 N Street NW, Suite 700, Washington, DC 20037

Telephone Number: 202-736-5859 (Lisa Jones, Deputy General Counsel)

Fax Number: 202-467-0790

E-mail Address: lisa.jones@aspeninst.org

PRIVATE SPONSOR TRAVEL CERTIFICATION FORM
SIGNATURE PAGE FOR ADDITIONAL SPONSOR
(to be completed by each additional sponsor)

I hereby *certify* that the information contained on pages 1-4 of the certification form and any accompanying addenda, all submitted in connection with the _____ trip
to _____ is true, complete, and correct.
Dates of Travel (Month Day, Year)
Place of Travel

Signature of Travel Sponsor: _____

Name and Title: _____

Name of Organization: _____

Address: _____

Telephone Number: _____

Fax Number: _____

E-mail Address: _____

11
 12
 13
 14
 15
 16
 17
 18
 19
 20
 21
 22
 23

Instructions
(Do not file the Instructions with OPR)

General Instructions

- The Senate Select Committee on Ethics ("Ethics Committee") has developed guidelines for evaluating privately-sponsored trips and for judging whether trip expenses are reasonable. Trip sponsors should consult the *Senate Select Committee on Ethics' Regulations and Guidelines for Privately-Sponsored Travel*, including the *Glossary of Terms*, prior to filling out the *Private Sponsor Travel Certification Form* and contact the Ethics Committee at (202) 224-2981 with any additional questions. The Ethics Committee will make the final determination as to whether the expenses incurred during a privately-sponsored trip are reasonable.
- If there are multiple sponsors, they should jointly complete one *Private Sponsor Travel Certification Form* for the trip. Each travel sponsor should complete the signature block.
- When evaluating a trip proposal and judging the reasonableness of expenses, the Ethics Committee will consider the following factors:
 - a. the stated mission of the organization sponsoring the trip;
 - b. the organization's prior history of sponsoring congressional trips, if any;
 - c. other educational activities performed by the organization besides sponsoring congressional trips;
 - d. whether any trips previously sponsored by the organization led to an investigation by the Select Committee on Ethics;
 - e. whether the length of the trip and the itinerary is consistent with the official purpose of the trip;
 - f. whether there is an adequate connection between a trip and official duties;
 - g. the reasonableness of the total amount spent by a sponsor of the trip;
 - h. whether there is a direct and immediate relationship between a source of funding and an event;
 - i. the maximum *per diem* rates for official Federal Government travel published annually by the General Services Administration, the Department of State, and the Department of Defense;
 - j. whether travel to a location or event is arranged or organized without regard to congressional participation, or whether it is specifically organized for Congressional staff; and
 - k. any other factor deemed relevant by the Select Committee on Ethics.

Consult the *Senate Select Committee on Ethics' Regulations and Guidelines for Privately-Sponsored Travel*, including the *Glossary of Terms*, for further discussion of these factors.

- Responses to each question should be brief, consistent with the requirement to provide all relevant information. Attach additional pages, as necessary.
- To allow sufficient time for the Ethics Committee to review requests for privately sponsored travel, the participating Senate Members, officers, and employees must submit the completed form to the Ethics Committee at least **thirty (30) days** before the date of the proposed trip.

9. *Lobbyist/agent of a foreign principal accompaniment standards:* Senate Members, officers, and staff may not accept privately-sponsored travel from an entity that retains or employs one or more federally-registered lobbyists or foreign agents unless one of the listed scenarios applies. *At any segment of the trip* means lobbyists may not accompany the Senate invitee for parts of the travel to and from the event (not at the event itself or the location being visited). *At any point throughout the trip* means lobbyists may not accompany Senate invitees at any point to and from the event, at the event itself, or at the location being visited, other than in a *de minimis* way. This is a broader prohibition than the *at any segment of a trip* standard.

"De minimis" exception: Both lobbyist/agent of a foreign principal "accompaniment" prohibitions include a *de minimis* exemption. *De minimis* means negligible or inconsequential. The mere coincidental presence of a lobbyist or foreign agent at an event would likely be considered *de minimis*. But in making the final determination, the Ethics Committee will consider the totality of the circumstances, including the amount of time lobbyists or foreign agents are present at the event; the amount of direct contact they have with Senate invitees; and the amount of control a trip sponsor has over their presence or contact with Senate guests. For example, if the trip includes attendance at an event considered widely-attended under Rule 35(1)(c)(18), the trip sponsor is unlikely to know all attendees present. Thus, it is likely to be permissible for such widely-attended events to include both a Senate guest and a lobbyist. Similarly, an organization cannot possibly know all the other passengers taking the same flight or other common carrier to a given destination. Accordingly, the sponsor does not need to certify that it knows for certain that no lobbyist or foreign agent will be on such a common carrier.

10. *If travel includes two overnight stays:* The Ethics Committee may approve two overnight stays for trips sponsored by an entity that employs or retains one or more lobbyists or foreign agents under certain conditions. Consult Committee regulations for additional information.
11. *An itinerary for the trip is attached to this form:* The Ethics Committee will not review the trip request without a detailed (hour-by-hour), complete and final itinerary for the trip. As a general matter, the Ethics Committee advises that each travel day contain a minimum of 6 hours of officially-related activities for Senate invitees.
12. *Briefly describe the role of each sponsor in organizing and conducting the trip:* A sponsor must have a significant role in organizing and conducting a trip and must have a specific organizational interest in the purpose of the trip.
13. *Briefly describe the stated mission of each sponsor and how the purpose of the trip relates to that mission:* Provide a brief description of the stated mission of each sponsor and how it relates to the trip.
14. *Briefly describe each sponsor's prior history of sponsoring congressional trips:* Provide a brief discussion of the sponsor's history of sponsoring congressional travel. It is not necessary to list every trip.
15. *Briefly describe the educational activities performed by each sponsor (other than sponsoring congressional trips):* Provide a brief description of the educational activities performed by each sponsor. It is not necessary to list every individual activity; the description may be by kind or category of educational activity involved.
16. *Total expenses for each participant:* Indicate whether the figures provided are actual amounts or good faith estimates by checking the appropriate box. All trip expenses should be included. Expenses other than those for transportation, lodging, and meals must be individually listed and specified. Attach additional pages as necessary.

17. *Congressional participation:* For events that are arranged without regard to congressional participation (for example, annual meetings, conferences, seminars, and symposiums of trade associations, professional societies, business associations, and other membership organizations), the Ethics Committee may, but is not required to, allow Senate Members, officers, and employees to accept lodging and meal expenses that are commensurate with what is customarily provided to non-congressional attendees in similar circumstances. For events specifically arranged around congressional participation, lodging, meal expenses and other expenses must be "reasonable" in accordance with Ethics Committee regulations.
18. *Reason for selecting the location of the event or trip:* The location of the trip *must be related to its purpose*. A brief but detailed description of the reason for the selection of the location must be provided.
19. *Name and location of hotel or other lodging facility:* Include the exact name and address of the hotel or other lodging facility.
20. *Reasons for selecting hotel or other lodging facility:* Provide an explanation of the sponsor's rationale for selecting the particular lodging, include information such as proximity to the airport or site to be visited.
21. *Describe how the daily expenses for lodging, meals, and other expenses provided to trip participant compare to the maximum per diem rates for official Federal Government travel:* Where feasible and available, trip expenses for lodging and meals should generally be comparable to the government *per diem* rates. The circumstances surrounding a particular trip may legitimately require lodging and meal expenses to exceed these rates. Consult the Ethics Committee regulations for additional information.
22. *Describe the type and class of transportation being provided:* While coach or business-class fare may be accepted, first-class fare for any mode of transportation may be permitted only under limited conditions and only with specific prior written approval by the Ethics Committee. Transportation on a private or charter aircraft is not permitted for privately-sponsored travel under any circumstances.
23. *Expenses for recreational activity, alcohol, or entertainment:* The only recreational or entertainment activities that will be approved by the Ethics Committee are those that are provided to all attendees and are an integral part of an event. Alcoholic beverages are not considered to be a reasonable expense.
24. *List any entertainment that will be provided to, paid for or reimbursed to Senate invitees and explain why the entertainment is an integral part of the event:* Entertainment expenses that are not provided to all attendees and deemed an integral part of the event will not be approved by the Ethics Committee.
25. *Certification:* The trip sponsor *must* sign the form and certify that the information is true, complete, and correct. For trips with more than one sponsor, each additional sponsor *must* complete its own signature page and certify that the information contained in the form is true, complete, and correct.

Appendix to Private Sponsor Travel Certification Form

Aspen Institute Senior Congressional Education Staff Network Retreat, February 19-21, 2019.

Question 12. Briefly describe the role of each sponsor in organizing and conducting the trip (response continued) -- The Bill & Melinda Gates Foundation is not a sponsor of this trip and did not play a role in organizing, planning or conducting the trip. The Foundation provided grant funding to support the Aspen Institute Education & Society Program, including the Aspen Senior Congressional Education Staff Network; however, the Foundation did not earmark any funding for this trip.

Questions 13. Briefly describe the stated mission of each sponsor and how the purpose of the trip relates to the mission (response continued) – The Aspen Institute Education and Society Program seeks to provide a neutral forum to aid education policymakers in their efforts to improve K-12 public education. The purpose of the trip is to conduct a non-partisan educational retreat that encourages off-the-record, candid exchanges of ideas to support staffers' learning.

Question 15. Briefly describe the educational activities performed by each sponsor (other than sponsoring congressional trips) (response continued) – The Aspen Institute organizes numerous educational activities, including educational briefings, roundtables, forums and conferences for a diverse range of attendees including federal and state policymakers, business and organizational leaders, members of the press and the general public. The Aspen Institute Education and Society Program works with federal, state and local education leaders to improve K-12 student achievement, particularly for underserved students.